



PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Technology Center 2100

Application of

Docket No: A7993

Junbiao ZHANG, et al.

Appln. No.: 09/938,558

Group Art Unit: 2184

Confirmation No.: 1596

Examiner: Not Yet Assigned

Filed: August 27, 2001

For: A GENERIC NETWORK MONITORING TOOL

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §§ 1.97 and 1.98**

Commissioner for Patents  
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicants hereby notify the U.S. Patent and Trademark Office of the documents which are listed on the attached PTO/SB/08 A & B (modified) form and/or listed herein and which the Examiner may deem material to patentability of the claims of the above-identified application.

One copy of each of the listed documents is submitted herewith.

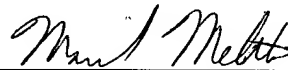
The present Information Disclosure Statement is being filed: (1) No later than three months from the application's filing date for an application other than a continued prosecution application (CPA) under §1.53(d); (2) Before the mailing date of the first Office Action on the merits (whichever is later); or (3) Before the mailing date of the first Office Action after filing a request for continued examination (RCE) under §1.114, and therefore, no Statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

**INFORMATION DISCLOSURE STATEMENT**  
**U.S. Appln. No.: 09/938,558**

**Attorney Docket No.: A7993**

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

Respectfully submitted,



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Date: November 20, 2002



Substitute for Form 1449 A & B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				Complete if Known	
				Application Number	09/938,558
				Confirmation Number	1596
				Filing Date	August 27, 2001
				First Named Inventor	Junbiao ZHANG
				Art Unit	2184
				Examiner Name	Not Yet Assigned
Sheet	1	of	1	Attorney Docket Number	A7993

**RECEIVED****U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
		Number	Kind Code <sup>2</sup> (if known)		
		US			

NOV 21 2002

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**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Translation <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)			

**OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city, and/or country where published.	Translation <sup>6</sup>
		David L. Tennenhouse, Jonathan M. Smith, W. David Sincoskie, David J. Wetherall, and Gary J. Minden. A survey of active network research. <i>IEEE Communications</i> , January 1997.	
		David J. Wetherall, John Guttag, and David L. Tennenhouse. ANTS: A Toolkit for Building and Dynamically Deploying Network Protocols. In <i>IEEE OPENARCH'98</i> , San Francisco, April 1998.	
		Michael Hicks, Pankaj Kakkar, Jonathan T. Moore, Carl A. Gunter, and Scott Nettles. PLAN: A Programming Language for Active Networks. In <i>The 1998 International Conference on Functional Programming</i> , Baltimore, MD, September 1998.	
		Samrat Bhattacharjee, Ken Calvert, and Ellen W. Zegura. An Architecture for Active Networking. In <i>High Performance Networking (HPN'97)</i> , White Plains, NY, April 1997.	
		Y. Yemini and S. da Silva. Towards Programmable Networks. In <i>IFIP/IEEE International Workshop on Distributed Systems: Operations and Management</i> , L'Aquila, Italy, October 1996.	
		Erich Gamma, Richard Helm, Ralph Johnson, and John Vlissides. <i>Design Patterns: Elements of Reusable Object-Oriented Software</i> . Addison-Wesley, 1995.	
		W3C Recommendation. Extensible Markup Language (XML) 1.0. <a href="http://www.w3.org/TR/1998/RECxml-19980210.html">http://www.w3.org/TR/1998/RECxml-19980210.html</a> , February 1998.	
		Simon St. Laurent and Robert Biggar. <i>Inside XML DTDs</i> . McGraw-Hill, New York, 1999.	
		Junbiao Zhang and Maximilian Ott. ANSWER: information routing based on active networks. In <i>Proc. 5th Asia-Pacific conference on communications</i> , pages 69-74, October 1999.	
		J. Case, M. Fedor, M. Schoffstall, and J. Davin. A simple network management protocol (SNMP). RFC 1157, <a href="http://www.ietf.org/rfc/rfc1157.txt">http://www.ietf.org/rfc/rfc1157.txt</a> , May 1990.	
		Maximilian Ott, Junbiao Zhang, and Remo Strotkamp. Looking inside an active network: The ANMOS monitoring tool. The Second International Working Conference on Active Networks, October 2000.	
		M.A. Ott, G. Welling, D.J. Reininger, S. Mathur, and R. Izmailov. The journey active network model. <i>IEEE Journal of Selected Areas in Communication</i> , 2001.	
		T.R. Gruber. Toward principles for the design of ontologies used for knowledge sharing. In <i>Padua workshop on Formal Ontology</i> , March 1993.	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov), MPEP 901.04 or in the comment box of this document. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to indicate here if English language Translation is attached.